

# UNITED STATES HOUSE OF REPRESENTATIVES FINANCIAL DISCLOSURE STATEMENT

For New Members, Candidates, and New Employees

FORM B

Name: JAMES THOMAS MAXWELL Daytime Telephone: \_\_\_\_\_

## FILER STATUS

|   |  |   |
|---|--|---|
| <input checked="" type="checkbox"/> New Member of or Candidate for U.S. House of Representatives                  | State: <u>NEW YORK</u> District: <u>25</u> | <input type="checkbox"/> Check if Amendment |
| <input type="checkbox"/> Candidates - Date of Election: <u>11/6/18</u>  |  |   |
| <input type="checkbox"/> New Officer or Employee  | Employing Office: _____                    |   |
| Staff Filer Type (If Applicable):<br><input type="checkbox"/> Shared <input type="checkbox"/> Principal Assistant |  | Period Covered: January 1, _____ to _____   |

A \$200 penalty shall be assessed against any individual who files more than 30 days late.

OFFICE OF THE CLERK  
U.S. HOUSE OF REPRESENTATIVES  
(Office Use Only)

18 MAY 17 AM 11:52

LEGISLATIVE RESOURCE CENTER

MAY 09, 2018

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## PRELIMINARY INFORMATION - ANSWER EACH OF THESE QUESTIONS

|   |  |   |  |
|---|--|---|--|
| <p>A. Did you, your spouse, or your dependent child:</p> <p>a. Own any reportable asset that was worth more than \$1,000 at the end of the reporting period? <u>or</u></p> <p>b. Receive more than \$200 in unearned income from any reportable asset during the reporting period?</p> <p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> |  | <p>E. Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing?</p> <p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>                                       |  |
| <p>C. Did you or your spouse have "earned" income (e.g., salaries, honoraria, or pension/IRA distributions) of \$200 or more during the reporting period?</p> <p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>  |  | <p>F. Did you have any reportable agreement or arrangement with an outside entity during the reporting period or in the current calendar year up through the date of filing?</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> |  |
| <p>D. Did you, your spouse, or your dependent child have any reportable liability (more than \$10,000) at any point during the reporting period?</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>   |  | <p>J. Did you receive compensation of more than \$5,000 from a single source in the current year and two prior years?</p> <p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>  |  |

ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"  
THIS FORM INCLUDES ONLY THE SCHEDULES THAT YOU ARE REQUIRED TO COMPLETE

## EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION - ANSWER BOTH OF THESE QUESTIONS

|   |  |
|---|--|
| <p>TRUSTS - Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust that benefits you, your spouse, or dependent child?</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> | <p>EXEMPTION - Have you excluded from this report any other assets, "unearned" income, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> |
|---|--|

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**Use additional sheets if more space is required.**

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**Use additional sheets if more space is required.**



# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name

James Thomas Maxwell

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| BLOCK A                      |                   | BLOCK B        |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      | BLOCK C        |      |          |               |                      |              |              | BLOCK D          |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|------------------------------|-------------------|----------------|-------------|------------------|-------------------|--------------------|---------------------|---------------------|-----------------------|-------------------------|--------------------------|---------------------------|-------------------|-----------------------------------|------|----------------|------|----------|---------------|----------------------|--------------|--------------|------------------|-----|----|---|----|-----|------|----|---|----|-----|---|----|----------------|----|---|----|-----|------|----|---|----|-----|--|--|--|--|--|
| Assets and/or Income Sources |                   | Value of Asset |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      | Type of Income |      |          |               |                      |              |              | Amount of Income |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
| SP, DC, JT                   | ASSET NAME        | A              | B           | C                | D                 | E                  | F                   | G                   | H                     | I                       | J                        | K                         | L                 | M                                 | NONE | DIVIDENDS      | RENT | INTEREST | CAPITAL GAINS | EXCEPTED/BLIND TRUST | TAX-DEFERRED | Current Year |                  |     |    |   |    |     |      |    |   |    |     |   |    | Preceding Year |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              |                   | None           | \$1-\$1,000 | \$1,001-\$15,000 | \$15,001-\$50,000 | \$50,001-\$100,000 | \$100,001-\$250,000 | \$250,001-\$500,000 | \$500,001-\$1,000,000 | \$1,000,001-\$5,000,000 | \$5,000,001-\$25,000,000 | \$25,000,001-\$50,000,000 | Over \$50,000,000 | Spouse/DC Asset over \$1,000,000* |      |                |      |          |               |                      |              | I            | II               | III | IV | V | VI | VII | VIII | IX | X | XI | XII | I | II | III            | IV | V | VI | VII | VIII | IX | X | XI | XII |  |  |  |  |  |
|                              | IRA - ROTH        |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | IRA - TRADITIONAL |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - VANGUARD   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |
|                              | 401K - FIDELITY   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |      |                |      |          |               |                      |              |              |                  |     |    |   |    |     |      |    |   |    |     |   |    |                |    |   |    |     |      |    |   |    |     |  |  |  |  |  |

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name:

JAMES THOMAS MAXWELL

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| BLOCK A                      |                        | BLOCK B        |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   | BLOCK C        |           |      |          |               |                      |              | BLOCK D          |    |     |    |   |    |     |      |    |   |    |     |                |    |     |    |   |    |     |      |    |   |    |     |
|------------------------------|------------------------|----------------|-------------|------------------|-------------------|--------------------|---------------------|---------------------|-----------------------|-------------------------|--------------------------|---------------------------|-------------------|-----------------------------------|----------------|-----------|------|----------|---------------|----------------------|--------------|------------------|----|-----|----|---|----|-----|------|----|---|----|-----|----------------|----|-----|----|---|----|-----|------|----|---|----|-----|
| Assets and/or Income Sources |                        | Value of Asset |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   | Type of Income |           |      |          |               |                      |              | Amount of Income |    |     |    |   |    |     |      |    |   |    |     |                |    |     |    |   |    |     |      |    |   |    |     |
| SP, DC, JT                   | ASSET NAME             | A              | B           | C                | D                 | E                  | F                   | G                   | H                     | I                       | J                        | K                         | L                 | M                                 | NONE           | DIVIDENDS | RENT | INTEREST | CAPITAL GAINS | EXCEPTED/BLIND TRUST | TAX-DEFERRED | Current Year     |    |     |    |   |    |     |      |    |   |    |     | Preceding Year |    |     |    |   |    |     |      |    |   |    |     |
|                              |                        | None           | \$1-\$1,000 | \$1,001-\$15,000 | \$15,001-\$50,000 | \$50,001-\$100,000 | \$100,001-\$250,000 | \$250,001-\$500,000 | \$500,001-\$1,000,000 | \$1,000,001-\$5,000,000 | \$5,000,001-\$25,000,000 | \$25,000,001-\$50,000,000 | Over \$50,000,000 | Spouse/DC Asset over \$1,000,000* |                |           |      |          |               |                      |              | I                | II | III | IV | V | VI | VII | VIII | IX | X | XI | XII | I              | II | III | IV | V | VI | VII | VIII | IX | X | XI | XII |
|                              | IRA (R/R) MCD          |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |                  |    |     |    |   |    |     |      |    |   |    |     |                |    |     |    |   |    |     |      |    |   |    |     |
|                              | IRA MCD/NT/14 SWP      |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |                  |    |     |    |   |    |     |      |    |   |    |     |                |    |     |    |   |    |     |      |    |   |    |     |
|                              | ISHARES EIT            |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |                  |    |     |    |   |    |     |      |    |   |    |     |                |    |     |    |   |    |     |      |    |   |    |     |
|                              | ISHARES M1A4V          |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |                  |    |     |    |   |    |     |      |    |   |    |     |                |    |     |    |   |    |     |      |    |   |    |     |
|                              | SPDR S&P 500           |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |                  |    |     |    |   |    |     |      |    |   |    |     |                |    |     |    |   |    |     |      |    |   |    |     |
|                              | NALMUND 70M RGT        |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |                  |    |     |    |   |    |     |      |    |   |    |     |                |    |     |    |   |    |     |      |    |   |    |     |
|                              | BLACKROCK IND          |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |                  |    |     |    |   |    |     |      |    |   |    |     |                |    |     |    |   |    |     |      |    |   |    |     |
|                              | Brown GRAT EURO        |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |                  |    |     |    |   |    |     |      |    |   |    |     |                |    |     |    |   |    |     |      |    |   |    |     |
|                              | CRISTENY VANCE LTD     |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |                  |    |     |    |   |    |     |      |    |   |    |     |                |    |     |    |   |    |     |      |    |   |    |     |
|                              | DOUGL VOR FUND         |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |                  |    |     |    |   |    |     |      |    |   |    |     |                |    |     |    |   |    |     |      |    |   |    |     |
|                              | DOUGL AC OF INCOME (A) |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |                  |    |     |    |   |    |     |      |    |   |    |     |                |    |     |    |   |    |     |      |    |   |    |     |
|                              | TRIC 500 IND. FUND     |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |                  |    |     |    |   |    |     |      |    |   |    |     |                |    |     |    |   |    |     |      |    |   |    |     |
|                              | HALAB OAKMANC          |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |                  |    |     |    |   |    |     |      |    |   |    |     |                |    |     |    |   |    |     |      |    |   |    |     |
|                              | TD TR 45 EQUITY        |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |                  |    |     |    |   |    |     |      |    |   |    |     |                |    |     |    |   |    |     |      |    |   |    |     |
|                              | MES INV. TR            |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |                  |    |     |    |   |    |     |      |    |   |    |     |                |    |     |    |   |    |     |      |    |   |    |     |
|                              | MES SEA. TR FUND       |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |                  |    |     |    |   |    |     |      |    |   |    |     |                |    |     |    |   |    |     |      |    |   |    |     |



# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: James Thomas Maxwell

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| BLOCK A                      |                       | BLOCK B        |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   | BLOCK C        |           |      |          |               |                      |              |   | BLOCK D          |    |     |    |   |    |     |      |    |   |    |     |                |   |    |     |    |   |    |     |      |    |   |    |     |  |
|------------------------------|-----------------------|----------------|-------------|------------------|-------------------|--------------------|---------------------|---------------------|-----------------------|-------------------------|--------------------------|---------------------------|-------------------|-----------------------------------|----------------|-----------|------|----------|---------------|----------------------|--------------|---|------------------|----|-----|----|---|----|-----|------|----|---|----|-----|----------------|---|----|-----|----|---|----|-----|------|----|---|----|-----|--|
| Assets and/or Income Sources |                       | Value of Asset |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   | Type of Income |           |      |          |               |                      |              |   | Amount of Income |    |     |    |   |    |     |      |    |   |    |     |                |   |    |     |    |   |    |     |      |    |   |    |     |  |
| SP, DC, JT                   | ASSET NAME            | A              | B           | C                | D                 | E                  | F                   | G                   | H                     | I                       | J                        | K                         | L                 | M                                 | NONE           | DIVIDENDS | RENT | INTEREST | CAPITAL GAINS | EXCEPTED/BLIND TRUST | TAX-DEFERRED | Other Type of Income (Specify: e.g., Partnership Income or Farm Income) | Current Year     |    |     |    |   |    |     |      |    |   |    |     | Preceding Year |   |    |     |    |   |    |     |      |    |   |    |     |  |
|                              |                       | None           | \$1-\$1,000 | \$1,001-\$15,000 | \$15,001-\$50,000 | \$50,001-\$100,000 | \$100,001-\$250,000 | \$250,001-\$500,000 | \$500,001-\$1,000,000 | \$1,000,001-\$5,000,000 | \$5,000,001-\$25,000,000 | \$25,000,001-\$50,000,000 | Over \$50,000,000 | Spouse/DC Asset over \$1,000,000* |                |           |      |          |               |                      |              |   | I                | II | III | IV | V | VI | VII | VIII | IX | X | XI | XII |                | I | II | III | IV | V | VI | VII | VIII | IX | X | XI | XII |  |
|                              | IRA CONTINUED         |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |   |                  |    |     |    |   |    |     |      |    |   |    |     |                |   |    |     |    |   |    |     |      |    |   |    |     |  |
|                              | WIND HANCOCK INC      |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |   |                  |    |     |    |   |    |     |      |    |   |    |     |                |   |    |     |    |   |    |     |      |    |   |    |     |  |
|                              | WALKER ASSOC. INTL    |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |   |                  |    |     |    |   |    |     |      |    |   |    |     |                |   |    |     |    |   |    |     |      |    |   |    |     |  |
|                              | TD MORTGAGE TR II CO  |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |   |                  |    |     |    |   |    |     |      |    |   |    |     |                |   |    |     |    |   |    |     |      |    |   |    |     |  |
|                              | TD MORTGAGE TR US EA  |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |   |                  |    |     |    |   |    |     |      |    |   |    |     |                |   |    |     |    |   |    |     |      |    |   |    |     |  |
|                              | MMS INTL TR           |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |   |                  |    |     |    |   |    |     |      |    |   |    |     |                |   |    |     |    |   |    |     |      |    |   |    |     |  |
|                              | MMS SPK TR EMBAL      |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |   |                  |    |     |    |   |    |     |      |    |   |    |     |                |   |    |     |    |   |    |     |      |    |   |    |     |  |
|                              | MMS SEA INTL          |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |   |                  |    |     |    |   |    |     |      |    |   |    |     |                |   |    |     |    |   |    |     |      |    |   |    |     |  |
|                              | MANISTART HIGH YLD    |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |   |                  |    |     |    |   |    |     |      |    |   |    |     |                |   |    |     |    |   |    |     |      |    |   |    |     |  |
|                              | PIMCO INVEST GRAD     |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |   |                  |    |     |    |   |    |     |      |    |   |    |     |                |   |    |     |    |   |    |     |      |    |   |    |     |  |
|                              | PIMCO TOTAL RET.      |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |   |                  |    |     |    |   |    |     |      |    |   |    |     |                |   |    |     |    |   |    |     |      |    |   |    |     |  |
|                              | PIMCO SHORT TERM      |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |   |                  |    |     |    |   |    |     |      |    |   |    |     |                |   |    |     |    |   |    |     |      |    |   |    |     |  |
|                              | TRP NEW INC. FUND     |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |   |                  |    |     |    |   |    |     |      |    |   |    |     |                |   |    |     |    |   |    |     |      |    |   |    |     |  |
|                              | PANAGIARD FUND        |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |   |                  |    |     |    |   |    |     |      |    |   |    |     |                |   |    |     |    |   |    |     |      |    |   |    |     |  |
|                              | PANAGIARD FUND INTL   |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |   |                  |    |     |    |   |    |     |      |    |   |    |     |                |   |    |     |    |   |    |     |      |    |   |    |     |  |
|                              | PANAGIARD TRP INTL BD |                |             |                  |                   |                    |                     |                     |                       |                         |                          |                           |                   |                                   |                |           |      |          |               |                      |              |   |                  |    |     |    |   |    |     |      |    |   |    |     |                |   |    |     |    |   |    |     |      |    |   |    |     |  |

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**Use additional sheets if more space is required.**



Name: JAMES THOMAS MAXWELL Page 1 of 1

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Report all positions, compensated or uncompensated, as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, nonprofit organization, labor organization, or educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or other political entities (such as political parties and campaign organizations); and positions solely of an honorary nature. New Members end second-year candidates report positions held in the reporting period and the current calendar year. First-year candidates and new employees report positions held in the current calendar year and two previous years.

Name of Organization

MAXWELL BOEY MEDICAL GROUP PLLC (DISSOLVED JAN 2018)

# **SCHEDULE F - AGREEMENTS**

Name:

*James Thomas Maxwell*

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*1* of *1*

Identify the date, parties to, and general terms of any agreement or arrangement that you have with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

| Date | Parties to Agreement | Terms of Agreement |
|------|----------------------|--------------------|
|      |                      |                    |
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## **SCHEDULE J - COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE**

Report sources of compensation received by you or your business affiliation for services provided directly by you during the current year and two prior years. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise if you directly provided the services generating a fee or payment of more than \$5,000. Exclude: Payments by the U.S. government and any information considered confidential as a result of a privileged relationship recognized by law. Do not repeat information listed on Schedule C.

| Source (Name and City/State)                    |  | Brief Description of Duties |
|---|--|-----------------------------|
| Example: Doe Jones & Smith, Hometown, Homestate |  | Accounting Services         |
| <i>Maxwell BOEY MEDICAL GROUP LLC</i>           |  |                             |
| <i>ROCHESTER NEW YORK</i>                       |  | <i>NEUROSURGEON</i>         |
| <i>ROCHESTER GENERAL HOSPITAL</i>               |  | <i>NEUROSURGEON</i>         |
| <i>ROCHESTER NEW YORK</i>                       |  |                             |
|   |  |                             |
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